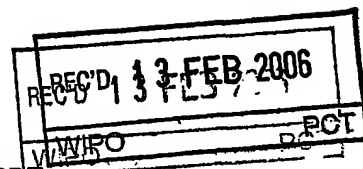


# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)



Applicant's or agent's file reference <b>297/172 PCT</b>	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. <b>PCT/US04/08725</b>	International filing date (day/month/year) <b>22 March 2004 (22.03.2004)</b>	Priority date (day/month/year) <b>21 March 2003 (21.03.2003)</b>
International Patent Classification (IPC) or national classification and IPC <b>IPC(7): H01L 21/338, 21/072 and US Cl.: 438/167; 257/194</b>		
Applicant <b>NORTH CAROLINA STATE UNIVERSITY</b>		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 3 sheets, including this cover sheet.  
  
☐ This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the

PCT).

These annexes consist of a total of      sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of report with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand <b>17 September 2004 (17.09.2004)</b>	Date of completion of this report <b>16 December 2005 (16.12.2005)</b>
Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/ US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (571) 273-3201	Authorized officer  Matthew S Smith Telephone No. (571) 272-1950

Form PCT/IPEA/409 (cover sheet)(July 1998)

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# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/US04/08725

## I. Basis of the report

1. With regard to the elements of the international application:\*

☐ the international application as originally filed.

☒ the description:

pages 1-15 as originally filed

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

☒ the claims:

pages 16-22 as originally filed

pages NONE, as amended (together with any statement) under Article 19

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

☒ the drawings:

pages 1/9-9/9 as originally filed

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

☐ the sequence listing part of the description:

pages NONE as originally filed

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item. These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).

☐ the language of publication of the international application (under Rule 48.3(b)).

☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

☐ contained in the international application in printed form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☐ The amendments have resulted in the cancellation of:

☐ the description, pages NONE

☐ the claims, Nos. NONE

☐ the drawings, sheets/fig NONE

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/US04/08725

## V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

## 1. STATEMENT

Novelty (N)	Claims <u>1-69</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>NONE</u>	YES
	Claims <u>1-69</u>	NO
Industrial Applicability (IA)	Claims <u>1-69</u>	YES
	Claims <u>NONE</u>	NO

## 2. CITATIONS AND EXPLANATIONS

Claims 1-69 lack inventive step under PCT Article 33(3) as being obvious Danzilio (US/6,242,293) in view of Chou (US/6,309,580).

Re claims 1-69, Danzilio fairly discloses similar method and device structure that includes providing a substrate having at least one post, i.e., layer 407 and 408 separated by a trench formed over the substrate, (see Fig. 4) with a predetermined width (see Fig. 4); and a laterally grown portion (407 408) (i.e., an epitaxially grown GaAs film) extending laterally from the post (see Fig. 4).

However, Danzilio does not disclose a nano-scale width of spacing of the post, i.e., 100 nm or less, by sub-micron lithography. Chou discloses a method for fabricating semiconductor devices that utilizes a nano-imprint lithography in order to pattern a semiconductor film having pattern width 100 nm or less (i.e., nano-scale width) (see Figs. 1A-1D, 2, 3, 4, 5A-5B, 6, and 7). As Chou discloses the nano-imprint lithography is utilized in order to create ultra-fine pattern of thin film which is coated on the semiconductor substrate. Therefore, one of ordinary skill in the art would have been motivated to modify the method and the device structure of Danzilio by applying nano-imprint lithography as disclosed by Chou in order to form ultra-fine pattern of thin film that is coated on the semiconductor substrate. Hence, claims 1-69 lack an inventive step under PCT Article 33(3).

NEW CITATIONS